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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/381,056	12/21/1999	PAUL MERTES	2345/86	3457

26646 7590 03/18/2003

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NEW YORK, NY 10004

EXAMINER

FIELDS, COURTNEY D

ART UNIT	PAPER NUMBER
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2132

DATE MAILED: 03/18/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/381,056

Applicant(s)

MERTES ET AL.

Examiner

Courtney D. Fields

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2132

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 4-6 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 4-6 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 10.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other:

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## DETAILED ACTION

### *Drawings*

1. The subject matter of this application admits of illustration by a drawing to facilitate understanding of the invention. Applicant is required to furnish a drawing under 37 CFR 1.81. No new matter may be introduced in the required drawing.

### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. Claims 4-6 are rejected under 35 U.S.C. 102(b) as being anticipated by Fischer U.S. Patent No. 4,868,877. Referring to claim 4, Fischer discloses a trusted authority (Bureau of Standards or the country's largest bank) that participates in a public key cryptosystem with the users of General Motors. Users are given meta-certified keys with three different levels, once the highest level is obtained, a certificated is made to meet the limitations of each user in Column 8, lines 4-49. Each of the users has a public encryption key and an associated private secret key pair in Column 6, lines 14-16. By using a portion of the privately held signature key, a message can be signed with digital signature if the public key is used to encrypt the result of the hash, compare it with the recomputed hash of the private key and confirm the signed message in Column 7, lines 5-20. In accordance to a digital signature, a valid certificate must be granted. Therefore, Fischer reveals once user A's public/private key pair is obtained by user B,

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the public key insures certification and allows user B to create a new certificate. User B uses it's secret private key and decrypts the encrypted signature of the new certificate which becomes part of user A's new certificate packet, in Column 13, lines 57-68, Column 14, lines 1-7.

Referring to claim 5, Fischer discloses the claimed limitation of having an additional key pair in Figure 4. Fischer enables user A signature to be co-signed by user C's public and secret private key in Column 13, lines 9-11. The public key as shown in Figure 4, is incorporated inside a certificate that is used to perform the signature for user A in Column 13, lines 15-21.

Referring to claim 6, Fischer discloses the claimed limitation of the highest trust level 3, which is for a meta certifier whose public key and certificates are established and known without the assistance of another user, and also the certifier takes responsibility only for identifying (checking the correctness) the entities whose public keys it certifies in Column 9, lines 50-54. Fischer shows the steps of utilizing a public encryption key transmitted with a certificate and verifying the signature is performed in Figure 3 and Column 11, lines 54-62. After the verification is done, Fischer shows a check and validation for each new certificate is performed in Column 17, lines 47-63.

### ***Conclusion***

4. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Matyas et al. U.S. Patent No. 5,164,988 discloses a method to establish and enforce a network cryptographic security policy in a public key cryptosystem.

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Courtney D. Fields whose telephone number is 703-305-8293. The examiner can normally be reached on Mon - Thu 7:00 - 5:00 pm; off every Fri.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on 703-305-1830. The fax phone numbers for the organization where this application or proceeding is assigned are 703-746-7239 for regular communications and 703-746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

*cdf*

cdf

March 10, 2003

*Gilberto Barron*

GILBERTO BARRON  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100